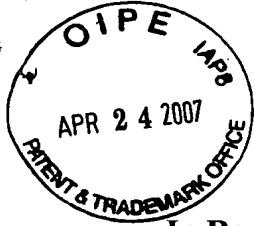


IFW

DOCKET NO.: MSFT-2911/115152.1

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Philip A. Bernstein, et al.

Confirmation No.: 5212

Application No.: 10/782,229

Group Art Unit: 2162

Filing Date: February 19, 2004

Examiner: Fleurantin, Jean B.

For: PREFETCHING AND CACHING PERSISTENT OBJECTS

DATE OF DEPOSIT:

April 19 2007

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE UNITED STATES PATENT AND TRADEMARK OFFICE, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

A handwritten signature in black ink, appearing to read "Kenneth R. Eiferman", written over a horizontal line.

TYPED NAME: Kenneth R. Eiferman  
REGISTRATION NO.: 51,647

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of

the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

- ☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.116 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

- ☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

- ☒ Copies of reference numbers **6 thru 13** listed on the attached Form PTO-1449 are enclosed herewith.

- ☒ Copies of reference numbers **14 thru 18** on the attached Form PTO 1449 are not required to be submitted pursuant to 37 CFR § 1.98(a)(2)(i).


- ☐ Copies of references - are not being submitted because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application number , filed for which a claim for priority under 35 U.S.C. § 120 has been made in the instant application.

DOCKET NO.: MSFT-2911/115152.1 - 3 -

PATENT

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

Date: April 19 2007

  
\_\_\_\_\_  
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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>MSFT-2911/115152.1</b>	Application No. <b>10/782,229</b>
	Applicant <b>Philip A. Bernstein, et al.</b>	
	Filing Date <b>February 19, 2004</b>	Group <b>2162</b>
	Confirmation No. <b>5212</b>	
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>		
6	English, R.M. et al., "Loge: A Self-Organizing Disk Controller", <i>Proceedings of USENIX Winter technical Conference, January 20-24, 1992</i> , 237-251	
7	Griffioen, J. et al., "Reducing File System Latency Using a Predictive Approach", <i>Department of Computer Science, University of Kentucky, MS-CAC 89-99</i>	
8	Hatfield, D.J. et al., "Program Restructuring for Virtual Memory", <i>Program Restructuring, 1971</i> , 3, 168-192	
9	Kroeger, T.M. et al., "Predicting File System Actions from Prior Events", <i>Proceedings of the USENIX Annual Technical Conference, 1996</i> , 101-110	
10	Palmer, M. et al., "Fido: A Cache That Learns to Fetch", <i>Proceedings of the 17<sup>th</sup> International Conference on Very Large Data Base, September 1991</i> , 255-264	
11	Patterson, R. Hugo, et al., "Informed Prefetching and Caching", <i>Proceedings of the 15<sup>th</sup> ACM Symp. On Operating System Principles, 1995</i> , 79-95	
12	Staelin, C. et al., "Smart Filesystems", <i>USENIX, 1991</i> , 45-51	
13	Tait, Carl D. et al., "Detection and Exploitation of File Working Sets", <i>IEEE, 1991</i> , 2-9	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>

**Form PTO-1449 Modified**

List of Patent and Publications  
Cited by Applicant  
(Use several sheets if necessary)

U.S. Department of Commerce  
Patent and Trademark Office

Docket No.  
**MSFT-2911/115152.1**

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**February 19, 2004**

Group  
**2162**

Confirmation No.  
**5212**

**U. S. PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Name	Class	Subclass
	14	5,220,667	06/15/93	Ichieda	395	700
	15	5,333,311	07/26/94	Whipple, II	395	600
	16	5,713,008	01/27/98	Falkner	395	500
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	18	6,073,232	06/06/00	Kroeker, et al.	713	1

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO

**EXAMINER****DATE CONSIDERED**